



PTO/SB/08A (10-01)  
Approved for use through 10/31/2002. OMB 0651-0031  
U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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Substitute for form 1449A/PTO		<b>Complete If Known</b>			
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (use as many sheets as necessary)		Application Number	10/076920		
		Filing Date	February 15, 2002		
		First Named Inventor	S. Deliwala		
		Art Unit	3653 2123		
		Examiner Name	Not yet known		
Sheet	1	of	2	Attorney Docket Number	53168-500301D3

L. Osborne

U.S. PATENT DOCUMENTS					
Examiner Initials	Cite No. <sup>1</sup>	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number - Kind Code <sup>2</sup> (if known)			
	A	US-4,904,039 A	02-27-1990	Soref	
	B	US-5,355,237 A	10-11-1994	Lang et al.	
	C	US-5,559,912 A	09-24-1996	Agarhi et al.	
	D	US-5,030,070 A	11-17-1995	Soref	
	E	US-5,044,022 A	12-01-1998	Yoshida	
	F	US-6,108,472	08-22-2000	Rickman et al.	
	G	US-6,222,951 B1	04-24-2001	Huang	
	H	US-2002/004942 A	04-25-2002	Cottelerte et al.	
	I	US-5,140,651 A	08-18-1992	Soref et al.	
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FOREIGN PATENT DOCUMENTS					
Examiner Initials	Cite No. <sup>1</sup>	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Country Code <sup>3</sup> - Number <sup>4</sup> - Kind Code <sup>5</sup> (if known)			
	J	JP 2000-304956	11-02-2000	OK Electric Ind Ltd	Abstract only
	K	JP 61-11708	01-20-1986	Nippon Telegraph and Telephone Corp	

Examiner Signature	Date Considered
	5/30/02

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

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PTO/SB/08B (10-01)

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Substitute for form 1449B/PTO			Complete if Known	
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (use as many sheets as necessary)			Applicant Number	10/076,920
			Filing Date	January 15, 2002
			First Named Inventor	S. Delivvala
			Group Art Unit	3653-2123
			Examiner Name	Not yet known
			Attorney Docket Number	53168-50030103
			Sheet	2

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Examiner Signature		Date Considered	5/30/02
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Substitute for form 1449A/PTO

INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Sheet

of

## Complete if Known

Application Number	10/076,920
Filing Date	2/15/02
First Named Inventor	Dellwala
Art Unit	3053
Examiner Name	Not yet assigned
Attorney Docket Number	053108-600301D3

2123  
L. Osborn

## U. S. PATENT DOCUMENTS

Examiner Initials*	Cite No. <sup>1</sup>	Document Number Number-Kind Code <sup>2</sup> (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
16		US- 3883 221	05-13-1975	Rigrod	
		US-			
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## FOREIGN PATENT DOCUMENTS

Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document Country Code <sup>2</sup> Number <sup>3</sup> Kind Code <sup>4</sup> (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	†

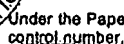
Examiner  
SignatureDate  
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\*EXAMINER: Initial reference considered, whether or not citation is in conformance with MPEP 809. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. 1 Applicant's unique citation designation number (optional). 2 See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. 3 Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). 4 For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. 5 Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 18 if possible. 6 Applicant is to place a check mark here if English language translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.



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Sheet / of /

**Complete if Known**

Application Number	10/076,920
Filing Date	February 15, 2002
First Named Inventor	S. Delliwala
Art Unit	3653 2(2)
Examiner Name	Not yet known
Attorney Docket Number	53168-500301D3

## U.S. PATENT DOCUMENTS

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## FOREIGN PATENT DOCUMENTS

Examiner Signature		Date Considered	5/30/07
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Substitute for form 1449A/PTO  <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (use as many sheets as necessary)		<b>Complete if Known</b>	
Sheet	/	of	/
		Application Number	10/076,920
		Filing Date	February 15, 2002
		First Named Inventor	S. Deli Wala
		Art Unit	3653
		Examiner Name	Not yet known
		Attorney Docket Number	53168-500301D3

2123  
L. Osborne

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Examiner Signature		Date Considered	5/10/07
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<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

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Substitute for form 1449A/PTO  <h2 style="text-align: center; margin: 10px 0;">INFORMATION DISCLOSURE STATEMENT BY APPLICANT</h2> <p style="text-align: center; margin-top: 10px;">(use as many sheets as necessary)</p>		<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <th colspan="2" style="text-align: center; padding: 5px;">Complete if Known</th> </tr> <tr> <td style="width: 30%; padding: 5px;">Application Number</td> <td style="padding: 5px;">10/076,920</td> </tr> <tr> <td style="padding: 5px;">Filing Date</td> <td style="padding: 5px;">02-15-2002</td> </tr> <tr> <td style="padding: 5px;">First Named Inventor</td> <td style="padding: 5px;">S. Deliwala</td> </tr> <tr> <td style="padding: 5px;">Art Unit</td> <td style="padding: 5px;">3653 2123</td> </tr> <tr> <td style="padding: 5px;">Examiner Name</td> <td style="padding: 5px;">NOT YET KNOWN</td> </tr> <tr> <td style="padding: 5px;">Attorney Docket Number</td> <td style="padding: 5px;">53168-60030103</td> </tr> </table>		Complete if Known		Application Number	10/076,920	Filing Date	02-15-2002	First Named Inventor	S. Deliwala	Art Unit	3653 2123	Examiner Name	NOT YET KNOWN	Attorney Docket Number	53168-60030103
Complete if Known																	
Application Number	10/076,920																
Filing Date	02-15-2002																
First Named Inventor	S. Deliwala																
Art Unit	3653 2123																
Examiner Name	NOT YET KNOWN																
Attorney Docket Number	53168-60030103																

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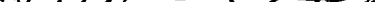
U.S. PATENT DOCUMENTS					
Examiner Initials	Cite No. 1	Document Number Number-Kind Code <sup>1</sup> (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
B J	A	US-6,316,281 B1	11-13-2001	Lee et al.	_____
	B	US-6,268,953 B1	07-31-2001	Maloney	_____
	C	US-6,242,324 B1	06-05-2001	Kub et al.	_____
	D	US-5,514,885 A	05-07-1996	Myrick	_____
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3653

Applicant: S. Deliwala

Serial No.: 10/076,920

Filed: February 15, 2002

For: SIMULATION PROGRAM FOR  
INTEGRATED OPTICAL/ELECTRONIC  
CIRCUITExaminer: ~~Not yet known~~ L. OsborneGroup No.: ~~Not yet known~~ 2123

Attorney Docket No.: 53168-500301D3

**INFORMATION DISCLOSURE STATEMENT  
PURSUANT TO 37 C.F.R. §§ 1.56 ET SEQ.**Assistant Commissioner for Patents  
Washington, D.C. 20231**RECEIVED**

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Dear Sir:

**GROUP 3000**

In accordance with 37 C.F.R. § 1.97(b), the above-identified Applicant cites the following patents and publications, which may be material to the examination of this application and in respect of which there may be a duty to disclose in accordance with 37 C.F.R. § 1.56. In compliance with 37 C.F.R. § 1.98(a), copies of the patents and publications set forth below and listed on the attached Form PTO/SB/08A have been provided.

**CERTIFICATE OF MAILING (37 C.F.R. § 1.8)**

I hereby certify that this paper, and the papers and/or fees referred to herein as transmitted, submitted or enclosed, are being deposited on the date shown below with the U.S. Postal Service with sufficient postage as first-class mail in an envelope addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

Name Daniel H. GolubSignature DH GolubDate of Deposit April 11, 2002

FORM PTO-1449 U.S. DEPARTMENT OF COMMERCE  
(MODIFIED) PATENT AND TRADEMARK OFFICE

ATTY. DOCKET NO.  
53168-500301D3

SERIAL NO.  
~~Not yet known~~  
1676920

APPLICANT  
Shrenik Deliwala

FILING DATE  
February 15, 2002

GROUP  
~~Not yet known~~ 2123

INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT  
(Use several sheets if necessary)  
(37 C.F.R. § 1.98(b))

16971 U.S. PTO  
10/076920  
02/15/02

### U.S. PATENT DOCUMENTS

EXAMINER INITIAL	PATENT NUMBER	ISSUE DATE	PATENTEE	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
CE	A 6 1 7 7 6 8 5	01/01	Teraguchi et al.	257	20	—
	B 6 1 8 8 8 1 8	02/01	Han et al.	385	24	—
	C 6 1 6 6 8 4 6	12/00	Maloney	359	247	—
	D 6 0 7 5 9 0 8	06/00	Paniccia et al.	385	14	—
	E 6 1 2 2 4 1 9	09/00	Kurokawa	385	31	—
	F 5 8 6 4 6 4 2	01/99	Chun et al.	385	14	—
	G 5 8 7 2 3 6 0	02/99	Paniccia et al.	250	341.4	—
	H 5 8 3 5 6 4 6	11/98	Yishimura et al.	385	141	—
	I 5 6 9 6 8 6 2	12/97	Hauer et al.	385	88	—
CE	J 4 6 7 7 7 8 3	07/87	Cratsa	45	15	—
	K 5 6 3 8 4 6 9	06/97	Feldman et al.	385	14	—

### FOREIGN PATENT OR PUBLISHED FOREIGN PATENT APPLICATION

DOCUMENT NUMBER	PUBLICATION DATE	COUNTRY OR PATENT OFFICE	CLASS	SUBCLASS	TRANSLATION YES NO

### OTHER DOCUMENTS (Including Author, Title, Date, Relevant Pages, Place of Publication)

L	Michael C. Parker et al., Applications of Active Arrayed Waveguide Gratings in Dynamic WDM Networking and Routing, Journal of Lightwave Technology, Vol. 18, No. 12, December 2000.
M	Bardia Pezeshki et al., Vertical Cavity Devices as Wavelength Selective Waveguides, Journal of Lightwave Technology, Vol. 12, No. 10, October 1994.
N	Lucent Technologies, Bell Labs Innovations, Arrayed Waveguide Grating Multiplexer/Demultiplexer, January 2000.
O	Robert Shi and Tomas Jansson, Optical Interconnection Foundations and Applications, Chapter 5, Integrated Optical Waveguide Routing - Micro-optics, Artech House, pp. 141-225.
P	Amalia N. Miliou et al., A 1.3 $\mu$ m Directional Coupler Polarization Splitter by Ion Exchange, Journal of Lightwave Technology, Vol. 11, No. 2, February 1993.
Q	Gijs J. M. Krijnen et al., A New Method for the Calculation of Propagation constants and Field Profiles of Guided Modes of Planar Channel Waveguides Based on the Effective Index Method, Journal of Lightwave Technology, Vol. 12, No. 9, September 1994.

EXAMINER

DATE CONSIDERED

EXAMINER: Initial citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.



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(MODIFIED) PATENT AND TRADEMARK OFFICE

INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT  
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(37 C.F.R. § 1.98(b))

ATTY. DOCKET NO.  
53168-500301D3

SERIAL NO.  
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APPLICANT  
Shrenik Deliwala.

FILING DATE  
February 15, 2002

GROUP  
~~Not yet known~~ 2123

U.S. PATENT DOCUMENTS

EXAMINER INITIAL		PATENT NUMBER							ISSUE DATE	PATENTEE	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	R	5	6	2	9	8	3	8	05/97	Knight et al.	361	782	—
	S	5	6	2	5	7	2	9	04/97	Brown	385	31	—
	T	5	6	2	5	6	3	6	04/97	Bryan et al.	372	50.124	—
	U	5	6	0	5	8	5	6	02/97	Goosen et al.	438	24	—
	V	5	5	6	8	5	7	4	10/96	Tanguay, Jr. et al.	385	14	—
	W	5	5	0	2	7	7	9	03/96	Magel	385	1	—
	X	5	4	8	5	0	2	1	01/96	Abe	257	84	—
	Y	5	4	3	4	4	3	4	07/95	Kasahara et al.	257	84	—
	Z	5	4	3	2	6	3	0	07/95	Lebby et al.	398	116	—
	AA	5	4	0	0	4	1	9	03/95	Heinen	385	14	—
	BB	5	1	9	8	6	8	4	03/93	Sudo	257	79	—

FOREIGN PATENT OR PUBLISHED FOREIGN PATENT APPLICATION

		DOCUMENT NUMBER							PUBLICATION DATE	COUNTRY OR PATENT OFFICE	CLASS	SUBCLASS	TRANSLATION	
													YES	NO

OTHER DOCUMENTS (Including Author, Title, Date, Relevant Pages, Place of Publication)

EXAMINER

DATE CONSIDERED

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SERIAL NO.

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10/076920

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APPLICANT  
Shrenik Deliwala

FILING DATE  
February 15, 2002



GROUP

Not yet known

2123

(37 C.F.R. § 1.98(b))

U.S. PATENT DOCUMENTS

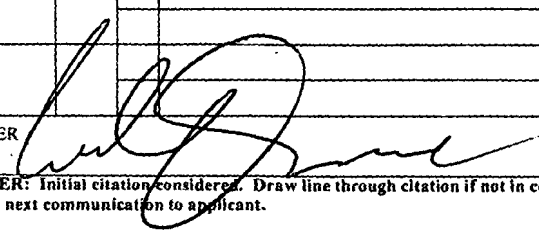
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	DD	5	1	5	3	7	7	0	10/92	Harris	359	245	—
	EE	5	0	6	1	0	2	7	10/91	Richard	385	14	—
	FF	4	9	6	6	4	3	0	10/90	Weidel	385	14	—
	GG	4	9	3	9	7	9	3	07/90	Stewart	398	170	—
	HH	4	9	1	7	4	5	0	04/90	Pocholle	385	10	—
	II	4	8	7	1	2	2	4	10/89	Karstensen	385	14	—
	JJ	4	8	6	5	4	2	7	09/89	Kingston et al.	359	276	—
	KK	4	7	6	1	6	2	0	08/88	Bar-Joseph et al.	359	263	—
	LL	4	7	5	8	0	9	2	07/88	Heinrich et al.	356	364	—
	MM	4	6	9	5	1	2	0	09/87	Holder	385	14	—

FOREIGN PATENT OR PUBLISHED FOREIGN PATENT APPLICATION

		DOCUMENT NUMBER							PUBLICATION DATE	COUNTRY OR PATENT OFFICE	CLASS	SUBCLASS	TRANSLATION	
													YES	NO

OTHER DOCUMENTS (Including Author, Title, Date, Relevant Pages, Place of Publication)


EXAMINER



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10/076920

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**APPLICANT**  
**Shrenik Deliwala**

FILING DATE  
February 15, 2002

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